



**LAND FORCE CENTRAL AREA**

# **THE LEADER**

**A GUIDE TO BEING A SUCCESSFUL  
NON COMMISSIONED OFFICER  
IN THE ARMY**

## FORWARD

### THE AREA REGIMENTAL SERGEANT-MAJOR

The people who have had the greatest influence on me have been my soldiers. Sometimes they thought I was too hard on them because I held them absolutely to the standard, but I also worked hard to be fair and look out for their interests. In doing that, I gained their confidence and respect. Together, we made a team - we succeeded. Officers have had an impact on me as well. I have been blessed with many commanders who allowed me the freedom to do my job, and I have also worked with some officers who did not trust or have confidence in NCOs. Every time I was faced with that attitude, I made it my personal challenge to change it.

To those young ambitious NCOs who aspire to be an RSM, I would simply advise that you remember three letters: "B" - be patient; "S" - stay focussed; and "T" - take care of your soldiers. The army is going through a period of change; directions sometimes change on short notice. Be patient, the army takes care of its own, and it will continue to take care of its own in the future.

Despite distractions, you must stay focussed on the mission and the task at hand. If you are a drill instructor training new recruits, you are obligated to make them into the best soldiers possible. If you are a howitzer detachment commander, you are responsible for training your detachment for war - when war begins, it is too late to train them. Take care of your soldiers and they will take care of you. They have confidence in you if they know you are looking out for their best interests.

Jim H. Fraser  
Area Chief Warrant Officer  
Land Force Central Area

**PART ONE - TREATISE ON LEADERSHIP**

**CHAPTER 1 - INTRODUCTION**

101 GENERAL .....	1-1-1/8
102 HONOUR, INTEGRITY AND DIGNITY .....	1-1-3/8
103 YOU ARE A LEADER .....	1-1-4/8
104 YOU HAVE BEEN CHOSEN TO LEAD THE WORLD'S BEST SOLDIERS .....	1-1-4/8
105 YOU MUST LEAD BY EXAMPLE .....	1-1-5/8
106 YOU MUST BUILD TEAMWORK .....	1-1-6/8
107 YOU MUST KNOW YOUR PEOPLE .....	1-1-6/8
108 YOU MUST KNOW YOURSELF .....	1-1-7/8
109 YOU MUST KNOW YOUR JOB .....	1-1-7/8
110 YOU MUST BE HONEST .....	1-1-8/8

**CHAPTER 2 - LEADERSHIP AND AUTHORITY RELATIONSHIPS**

201 AS A LEADER YOU HAVE AUTHORITY .....	1-2-1/12
202 YOU HAVE TWO TYPES OF AUTHORITY .....	1-2-1/12
203 LEARN HOW FAR YOU CAN GO .....	1-2-1/12
204 THE CHAIN OF COMMAND AND THE NCO SUPPORT CHANNEL .....	1-2-2/12
205 YOU HAVE BOTH DUTIES AND RESPONSIBILITIES ..	1-2-2/12
206 YOU MUST PROMOTE GOOD DISCIPLINE .....	1-2-3/12
207 YOU MUST GIVE CLEAR ORDERS .....	1-2-4/12
208 YOU MUST MONITOR CONDUCT AND DEPORTMENT	1-2-4/12
209 YOU MUST TAKE APPROPRIATE AND TIMELY ACTION .....	1-2-4/12
210 YOU MUST KNOW YOUR SOLDIERS .....	1-2-8/12
211 YOU MUST BE CONSISTENT AND DECISIVE .....	1-2-9/12
212 YOU MUST LISTEN CAREFULLY .....	1-2-9/12
213 YOU MUST SUPPORT YOUR FELLOW NCOs .....	1-2-9/12
214 YOU MUST BE RESPONSIBLE FOR YOUR TROOPS ..	1-2-10/12
215 YOU MUST UNDERSTAND THE RELATIONSHIP BETWEEN NON-COMMISSIONED OFFICERS AND COMMISSIONED OFFICERS .....	1-2-10/12
216 YOU MUST KNOW YOUR RESPONSIBILITIES AS A NON-COMMISSIONED OFFICER .....	1-2-10/12

217 YOU MUST KNOW HOW HOW TO DECIDE IF A TASK IS YOUR RESPONSIBILITY .....	1-2-11/12
---	-----------

**PART TWO - PERFORMANCE GUIDANCE**

**CHAPTER 3 - GUIDELINES FOR SUCCESSFUL LEADERSHIP**

301 GENERAL OUTLINE .....	2-3-1/5
302 PERFORMANCE GUIDANCE .....	2-3-1/5
303 DEFINITION .....	2-3-3/5
304 GUIDELINES .....	2-3-4/5

**CHAPTER 4 - THE SOLDIER'S JOB**

401 INTRODUCTION .....	2-3-1/4
402 JOB SATISFACTION .....	2-4-1/4
403 DEVELOPMENT THROUGH GROWTH .....	2-4-1/4
404 INDIVIDUAL GOALS AND UNIT OBJECTIVES .....	2-4-2/4
405 YOUR ATTITUDE TOWARD INADEQUATE PERFORMANCE .....	2-4-3/4
406 SPECIAL PROBLEM AREAS .....	2-4-3/4
407 REWARD AND PUNISHMENT .....	2-4-3/4
408 EXPECTATIONS ARE IMPORTANT .....	2-4-4/4
409 SUMMARY .....	2-4-4/4

**CHAPTER 5 - GUIDANCE ON THE JOB**

501 APPROACHES .....	2-5-1/3
502 WHAT GUIDANCE IS .....	2-5-1/3
503 WHAT TO PROVIDE GUIDANCE ABOUT .....	2-5-2/3
504 WHEN TO PROVIDE GUIDANCE .....	2-5-2/3
505 WHERE TO PROVIDE GUIDANCE .....	2-5-2/3
506 WHAT GUIDANCE IS NOT .....	2-5-2/3

**CHAPTER 6 - FEEDBACK**

601 GENERAL .....	2-6-1/4
602 WHAT IS FEEDBACK .....	2-6-1/4
603 TIMING FEEDBACK .....	2-6-1/4

<u>TABLE OF CONTENTS</u>	<u>PAGE</u>
--------------------------	-------------

604 FORMAL VERSUS INFORMAL DISCUSSION .....	2-6-1/4
605 ACCEPTANCE OF FEEDBACK .....	2-6-2/4
606 A FINAL COLLECTION OF GUIDANCE TIPS .....	2-6-3/4

CHAPTER 7 - GUIDANCE ON PERSONAL PROBLEMS

701 THE LEADER MUST BE CONCERNED WITH A SOLDIER'S PERSONAL PROBLEMS .....	2-7-1/3
702 IDENTIFYING A PERSONAL PROBLEM .....	2-7-1/3
703 THE LEADER'S RESPONSIBILITY .....	2-7-1/3
704 GENERAL CONSIDERATIONS .....	2-7-1/3
705 LET THE SOLDIER DEFINE THE PROBLEM .....	2-7-2/3
706 USEFUL INFORMATION .....	2-7-2/3
707 GUIDANCE .....	2-7-2/3
708 REFERRAL TO EXPERT HELP .....	2-7-3/3

PART THREE - LEADERSHIP THEORY

CHAPTER 8 - PRINCIPLES OF LEADERSHIP

801 DEFINITIONS AND BACKGROUND .....	3-8-1/4
802 THE PRINCIPLES OF LEADERSHIP .....	3-8-1/4
803 THE SIGNIFICANCE OF THE TERMS EMPLOYED .....	3-8-2/4
804 THE TECHNIQUES APPLICABLE TO EACH APPROACH TO LEADERSHIP .....	3-8-2/4
805 SUMMARY .....	3-8-4/4

CHAPTER 9 - MOTIVATION

901 INTRODUCTION .....	3-9-1/7
902 THEORIES OF MOTIVATION .....	3-9-1/7
903 ADJUSTIVE BEHAVIOUR .....	3-9-1/7
904 A SOLDIER'S EXPECTATIONS .....	3-9-3/7
905 INCENTIVES TO PERFORMANCE .....	3-9-4/7

<u>TABLE OF CONTENTS</u>	<u>PAGE</u>
--------------------------	-------------

ANNEX A

BIBLIOGRAPHY OF REFERENCES .....	A-1/1
----------------------------------	-------

LIST OF FIGURES

<u>FIGURE</u>	<u>TITLE</u>	<u>PAGE</u>
1-1	ARREST PROCEDURE .....	1-2-6/12

A GUIDE TO BEING A SUCCESSFUL  
NON COMMISSIONED OFFICER IN THE ARMY

PART ONE

CHAPTER ONE

INTRODUCTION

TREATISE ON LEADERSHIP BY  
COMMANDER LAND FORCE CENTRAL AREA

Major-General Bryan E. Stephenson

*"The task of a leader is to give his people a future.  
A leader is a dealer in hope."* Napoleon

101. GENERAL

*"Your objective is to train your own replacement."*

1. Being an NCO in today's army is not an easy vocation. You must preserve traditions and develop esprit de corps in an environment of rapid social and technological change, pressure to reduce expenditures and a high operational tempo. This must be done in a world where regional conflicts require professional troops like ours to carry out a wide variety of missions. At the same time, it seems that change is the only certainty and the pace of change is gathering speed and profoundly affecting not only you but your family and your unit. In this environment, it is a struggle to retain and exercise authority when decisions are scrutinized by the public, the media and our own members. For many soldiers and their families, quality of life has declined relative to a decade ago. At the same time, Canadian soldiers are held in high respect for their outstanding contributions in international operations.

2. I understand the difficulties you face and assure you that I and your Commanding Officers will do everything possible to address the conditions under which you lead soldiers. The best antidote I can think of to constant change is solid leadership; hence, I have produced this guide to help you along the difficult but very rewarding

journey to leading the world's best soldiers.

3. During these turbulent times we have to learn to deal with uncertainty and ambiguity while imparting a clear sense of mission and purpose to our soldiers. We are not immune to the changes that are happening all around us; we must adapt like all Canadians. Times have changed for leaders in the military as well: both leaders and soldiers are well educated and come from an evolving social environment; the classical autocrat is "out"- the listening leader is "in".

4. Officially, a "non-commissioned officer" is defined as a member holding the rank of Sergeant or Corporal" (QR&O 1.02). However, for the purpose of this guide, and in the interest of brevity, I will use the term NCO to include all NCM ranks that have a supervisory role: that is Master Corporal to Chief Warrant Officer. It is intended as a primer for new NCOs but I believe all Warrant Officers and Officers will find it useful. Therefore, I ask that all NCOs under my command read this guide and use it as a reminder and teaching tool. It was designed to describe the qualities of an NCO that I expect of you: in a leadership role, and outline the responsibilities, possibilities, realities and the restrictions you face every day. I use the term "soldiers" extensively throughout the guide; by this I refer to all the men and women who are our subordinates.

5. As a leader, you have a tough, demanding, but very rewarding job and the soldiers you lead are the heart of the army, both regular and reserve. Your work is challenging because you direct soldiers at the action level where the important, day to day, fundamental work of the army is performed. You are the key to making your soldiers more capable by sharing what you know and encouraging them to use their initiative.

6. Because you work very closely with your soldiers, you have the best opportunity to know them as they really are. You should be the first to identify and teach them how to best use their strengths; the first to detect and train them to overcome their shortcomings. You are in the best position to secure their trust and confidence - you do this by leading by example. You have the advantage of a deeper understanding of your soldiers' behaviour because you were promoted directly from the ranks that you now lead.

1-1-2/8

*"You will be challenged by your soldiers; you will be rewarded by the respect they have for your ability."*

## 102. HONOUR, INTEGRITY AND DIGNITY

7. I want to emphasize these three qualities which are critical in the current leadership environment. Good leaders conduct themselves with honour and integrity and treat their superiors, peers and subordinates with respect and dignity. This leads to willing and cohesive teams. Everyone knows their job, is proud of it and proud of their place on the team. The team breaks down completely when there is a lack of understanding, incompetence and/or abuse. You have a principle obligation to be technically competent for your rank and position. You have a legal and moral obligation to ensure that your troops perform their duties to the required standard. None of this is attainable where soldiers mistrust each other or their commanders. You must work hard to ensure that trust is present at all times.

8. It is imperative that your actions in relation to your troops are not inherently offensive, demeaning, belittling or humiliating to them. This is considered harassment. It is illegal. It is unprofessional. It is forbidden. You have a positive obligation to ensure that no other military person treats anyone else in such a manner. It must be reported immediately.

*"All NCO's must, read and understand CFAO 19-39. Harassment"*

9. None of these obligations or restrictions constrain good leaders. Competent and conscientious leaders lead by example of technical and moral superiority. Cowards intimidate, harass and abuse. Weed them out.

10. There are two important concepts that I want you to understand- Ethics and Morale. They are more complex than you might think and there are no hard and fast rules which govern these concepts. Nevertheless they are integral to everything you do both on and off the job.

- a. **Ethics.** Essentially, if you follow all the guidance in this document it is fair to say that you will be acting in an ethical

1-1-3/8

manner. In many ways, ethics are just good common sense—simply doing the right thing by the people you deal with every day. Ethics are based on the respect for the dignity of all persons. We will not injure, bully, deceive, manipulate, discriminate against, harass, or treat unjustly any person. Ethics embodies qualities such as honesty, accountability, competence, diligence, courage, loyalty, obedience, fairness, discretion and most importantly, care of subordinates.

- b. **Morale.** Morale is the term used to describe the complex relationship between people and the environment in which they live and work. It could be described in terms of the attitudes or feelings possessed by an individual as he or she relates to the group. For the group, it is the commitment to pull together towards goals that the members accept. High morale energizes and motivates troops to perform their tasks with greater effort and eagerness. To achieve high morale, leaders must be competent, goals must be clear, cohesiveness must be evident and there must be open communications up and down the chain of command.

### 103. YOU ARE A LEADER

*"You are part of a special group"*

11. A dedicated and professional NCO has always been an integral, necessary and permanent part of all army units. The past has clearly shown, and it is true today, that only a special group of soldiers are selected to be non-commissioned officers. This special status carries the weight of additional duties, responsibilities and authority. You will be expected to be an instructor, counsellor, expert in safety and conservation of resources.

12. Leadership is the quality that makes you special. It is the basic element of cohesion, skill at arms and ultimately, morale.

### 104. YOU HAVE BEEN CHOSEN TO LEAD THE WORLD'S BEST SOLDIERS

*"Whether you think you can or think you can't, you are right"*  
Henry Ford

1-1-4/8

*"You lead by example; you set high standards; you train your soldiers to perform to those standards; you help your soldiers to meet those standards."*

13. You have been promoted based on your merit and charged with the duties that support commissioned officers in accomplishing the missions of your units. Your business is to train and lead your troops; you must ensure that orders are carried out in spirit and in fact.

14. Leadership has always been the primary role of all army NCOs. As an NCO, you are aware that the more varied operational and garrison tasks you experience today demand a more flexible and concerned leadership, at all levels, than ever before. These tasks can be accomplished by well-trained and motivated leaders who have attained the willing obedience, confidence, respect and loyal co-operation of the men and women under their direct supervision.

### 105. YOU MUST LEAD BY EXAMPLE

*"You must follow orders in the same manner that you expect your soldiers to follow yours."*

15. This is the fundamental leadership secret for success. The army requires NCOs who have earned the respect of their superiors by demonstrating the ability to accomplish all assigned tasks. You will also win the respect of your soldiers by considering the effects of your actions on them and by placing their well being above your own. You will spend more time with your subordinates than your officers will. Your personal example must extend beyond normal duty and into your personal life. You cannot demand a high standard of performance and behaviour from your troops if you do not adhere to the same criteria. Therefore, you must always set a good example both on duty and off as this will be the standard your soldiers will emulate. This will require adherence to a high standard of ethical behaviour and lead to a situation where soldiers will respect your decisions and willingly seek your advice or help when it is needed.

1-1-5/8

## 106. YOU MUST BUILD TEAMWORK

*"The will to win is not nearly as important as the will to prepare to win" Bobby Knight, Coach*

16. The publication, The Wisdom of Teams, provides a definition of a critical concept that provides cohesion, and in turn, the fighting spirit. A team is defined as: "A small number of people with complementary skills who are committed to a common purpose, shared performance goals, and an organized approach for which they hold themselves accountable."

17. Whether it be the business or military environment the essentials of teamwork are the same. NCOs train their troops to perform individual skills to high standards of excellence. You must optimize the performance of each member of your group and develop a team spirit based on the fact that, on your team each person depends on the other, and all depend on well maintained and properly operating equipment. Teamwork is learned by training, practice and experience.

## 107. YOU MUST KNOW YOUR PEOPLE

18. We are all volunteers who have offered our service to Canada. We place service before self. Our soldiers possess a spark of patriotism and love for adventure which needs constant attention and development. Operational situations have proven that Canadian soldiers will fight as willingly and as well as anyone on earth, when led with courage and wisdom. They are resourceful and imaginative, and the best results will be obtained by encouraging them to use their initiative. They are more likely to respond to a leader who has the will and intelligence to give a clear, sensible order than to obey one who has little in his or her favour but rank. They will display loyalty and discipline most readily when they are aware that you trust them.

19. We strive to reinforce the value of integrity, a sense of humour, and pride in the service. Your demonstration of such qualities will impress your soldiers to a far greater extent than mere talk. We all love to complain but you must be able to distinguish between semi-humorous complaining and the sullen undertones of genuine unrest that result from favouritism or injustice.

1-1-6/8

## 108. YOU MUST KNOW YOURSELF

*"You must accept responsibility for the success or failure of your soldiers."*

19. As an NCO, your job requires you to get things done with your team and your equipment under difficult conditions; uncertainty, confusion and stress. In these challenging circumstances four things are essential for success:

- a. **Courage-** *"Courage is rightly esteemed the first of human qualities because it is the quality which guarantees all others"* Winston Churchill. Courage is not the absence of fear, it is the ability to conquer fear: to get the job done despite fear. It is the willingness to press on with the task with the confidence that under your leadership the training and teamwork of your soldiers are sufficient to win out in the end.
- b. **Teamwork-** The degree of teamwork will be demonstrated by how well you have trained your group of soldiers. Teamwork and leadership can be acquired by good training. You cannot expect the efforts of your soldiers to make up for your lack of training or leadership.
- c. **Leadership-** This is evaluated not only on how well you lead but how willingly the soldiers under your command follow.
- d. **Loyalty-** Loyalty is a two way street, supporting your leaders and followers and never complaining in front of your troops; it is being faithful to the ideals that you are under obligation to protect with ultimate loyalty to Canada.

## 109. YOU MUST KNOW YOUR JOB

20. To be a good NCO you must know your job - know it exceptionally well. This means you must be proficient in the employment, care and maintenance of equipment assigned to you. If you are a really good NCO you will at least be as good as, or better at all those things than any of your soldiers. This is the first step in leading by example. You must be able to train your subordinates to high levels of proficiency in their individual and group skills. You are

1-1-7/8



the coach, the team is the vital component; high performance is the payoff. In addition you need to think ahead to the day when you may have to be replaced. Your soldiers must be able to pick up, carry on, and get the job done in your absence.

21. Professionals are always improving themselves; they discuss training, tactics and leadership; they recommend ways of getting the job done smarter and better; they police their own ranks.

#### 110. YOU MUST BE HONEST

22. "Tell it like it is" - not what you think someone wants to hear. If something goes wrong, be willing to say so; do so in an objective straight forward way; present facts. If you make a mistake, admit it; don't sacrifice integrity. You may be able to fool those you work for; chances are that you will never be able to fool those who work for you - your soldiers. Remember, as a group, Canadian soldiers have an almost unerring ability to ferret out the truth. Any attempt to fool them is a serious gamble that is seldom worth the risks involved. If the team does a good job, share the credit; it is the team effort that was successful with you as the leader.

1-1-8/8

## CHAPTER TWO

### LEADERSHIP AND AUTHORITY RELATIONSHIPS

#### 201. AS A LEADER YOU HAVE AUTHORITY

*"We thought because we had power, we had wisdom"*  
Arab saying.

1. To be a good leader, learn what type of authority you have and where it comes from. When in doubt, ask a senior, more experienced NCO or Officer. Once confident that you know the extent of your authority, use good judgement in applying it. Only then will you become a leader respected by subordinates and superiors.

#### 202. YOU HAVE TWO TYPES OF AUTHORITY

1. Authority is defined as the right to direct a subordinate or subordinates to do certain things. In the Canadian Forces there are two types of authority:

- a. Command authority; and
- b. General military authority.

#### 203. LEARN HOW FAR YOU CAN GO

3. When you take up a position that requires you to direct or control others, you assume **COMMAND AUTHORITY**. It comes with your position. Command authority is not limited to commissioned officers. It comes with any job requiring the direction or control of others. However, it applies only to the people, facilities and equipment that make up the element where you work.

4. On the other hand, all members of the Forces have **GENERAL MILITARY AUTHORITY**. It is the authority to act in the absence of a unit leader or other designated authority when the conduct of members of the Canadian Forces is contrary to that laid down in Queen's Regulations and Orders. It is a serious shortcoming to give in to the temptation to look after only your own soldiers, particularly in routine things like dress, driving and so on.

1-2-1/12

#### 204. THE CHAIN OF COMMAND AND THE NCO SUPPORT CHANNEL

5. There is only one Chain of Command in the army; it is paralleled and reinforced by the NCO Support Channel. Both are channels of communication used to pass information up and down the unit. Neither, however, is a one way street; nor are the two entirely separate. For the chain of command to function effectively, the NCO support channel must be operating.

6. The NCO support channel, in addition to passing information, is used for issuing orders and getting routine, but important jobs done. Most often you will use it to put policies and procedures into effect, and to enforce standards of performance, training, appearance and conduct. In addition to conducting normal operations, NCOs advise their Commanding Officer on individual proficiency and training needed for unit effectiveness. This important link leaves the Commander free to plan, make decisions and program future training and projects.

7. Regardless of where the information or the task begins - in the chain of command or the NCO support channel - the counterpart must be kept informed. This prevents duplication and the issuing of conflicting orders.

#### 205. YOU HAVE BOTH DUTIES AND RESPONSIBILITIES

*"You will be automatically accepted as an NCO until you do or say something to change peoples' minds."* CWO Parent, CFCWO

*"You shall promote the welfare, efficiency and good discipline of all who are subordinate"* QR&O 5.01

8. As an NCO, you have duties and responsibilities; so do your subordinates. Do you know what those duties and responsibilities are? A good guide is found at QR & O 5.01. Read it and refer to it often.

9. A duty is something you must do because of the position you hold. For example, it may be your duty, if you are on the unit maintenance team to conduct daily maintenance on vehicles.

1-2-2/12

Normally organizations have a list of duties for each job that must be performed.

10. Responsibility is being accountable for what you do. Any duty you have because of the position you hold in the unit includes a responsibility to do that duty. You, as an NCO, are also responsible and accountable for what your soldiers do, or fail to do. You are therefore responsible for fulfilling not only your individual duties, but also for seeing that your soldiers perform their jobs.

11. Individual responsibility cannot be delegated. You are accountable for your actions - accountable to your fellow NCOs, to your supervisor in your chain of command, to your unit, and to the army.

#### 206. YOU MUST PROMOTE GOOD DISCIPLINE

12. You cannot expect soldiers to be proud if you humiliate them; you cannot expect them to be brave if you abuse them; you cannot expect them to be strong if you break them.

13. The objectives of military discipline are:

- a. to ensure prompt and willing obedience to authority;
- b. to produce order; and
- c. to establish cohesion between individuals so that they may achieve success in a single purpose.

14. Discipline, properly administered, results in a desire to carry out the instructions of a superior authority, in spirit as well as in letter. It imparts courage in a large group of people, which otherwise would be lacking. Laxity of discipline in peace-time causes annoyance and trouble for all concerned; in operations it means defeat and disaster. Respectful obedience is the basis of sound discipline. It should not have as its origin fear of punishment, but should emanate from the conviction that orders are given by an authority responsible not only by rank but by knowledge.

1-2-3/12

## 207. YOU MUST GIVE CLEAR ORDERS

*"When in charge, take charge."*

15. All verbal orders should be given distinctly so there can be no doubt as to their meaning. You should not charge a subordinate with refusing to obey a lawful command until sufficient time has elapsed for that person to have taken action on the command. In addition, you should not accept ignorance of published orders as an excuse for non-compliance.

## 208. YOU MUST MONITOR CONDUCT AND DEPORTMENT

*"Praise vocally in public but criticize in private in a calm and constructive voice."*

16. The dress and behaviour of all ranks must, on all occasions, generate respect for the army. You should never overlook any irregularity or slackness, or fail to notice or correct any slovenly appearance or unmilitary conduct on the part of any service personnel.

17. You should not rebuke any soldier in the presence of anyone junior in rank to that person, unless a public rebuke is absolutely necessary for the preservation of discipline. There is no reason to use profanity at any time when addressing your soldiers. Not only is it offensive, it could constitute abuse of authority, the most common form of personal harassment.

## 209. YOU MUST TAKE APPROPRIATE AND TIMELY ACTION

18. The task of maintaining good order and discipline is difficult and time consuming but it is imperative that every offence, no matter how small it may seem, be dealt with according to military law.

19. "A non-commissioned member may, without a warrant, ...arrest or order the arrest of;

- a. any non-commissioned member of lower rank; and
- b. any non-commissioned member of equal or higher rank who is

1-2-4/12

engaged in a quarrel, fray or disorder....where that member has committed, or is reasonably believed to have committed, or is presently committing a service offence" (QR&O 105.03 and 105.06(1)).

20. All offenders may be placed under arrest in open or close custody or may simply have a charge preferred against them without being arrested. You should consider the circumstances surrounding each case in order to determine whether arrest is appropriate.

21. When it is necessary to place a person junior in rank to yourself under arrest, you will, if practical, obtain the assistance of one or more persons equal or junior in rank to the person arrested. Unless your assistance becomes essential, you will not physically participate in the arrest.

22. Upon arrest, you must immediately state:

- a. that the accused is under arrest and the general reason for the arrest;
- b. whether it is open or close custody;
- c. that the accused has permission to speak to a lawyer without delay, and that the accused has a right to free and immediate advice from duty counsel; and
- d. that there may be an entitlement to Legal Aid.

23. Give the accused privacy when speaking with any counsel. When giving the required information, use the following statement which you should carry with you or memorize:

1-2-5/12

#### ARREST PROCEDURE

YOU ARE UNDER ARREST FOR *(reason of arrest)*.

YOU ARE IN CLOSE CUSTODY *(if applicable)*.

IT IS MY DUTY TO INFORM YOU THAT YOU HAVE THE RIGHT TO RETAIN AND INSTRUCT COUNSEL WITHOUT DELAY.

YOU HAVE THE RIGHT TO HAVE ACCESS TO FREE AND IMMEDIATE ADVICE FROM DUTY COUNSEL.

LEGAL AID MAY BE AVAILABLE TO YOU.

DO YOU UNDERSTAND?

DO YOU WANT TO EXERCISE YOUR RIGHTS?

Figure 1-1: Arrest Procedure

24. Help the accused contact duty military legal counsel and a civilian lawyer if it is desired to do so, or, if custody is being transferred immediately to the military police, ensure that they are aware of the request. The telephone number for the military legal duty counsel is available from the military police or the duty officer at the NDHQ Operations Centre.

25. You must release anyone you have arrested as soon as it is reasonable to do so unless you believe that continued custody is necessary in the interest of the public or the CF. In deciding this, you must consider five factors:

- a. the seriousness of the offence;
- b. the need to identify the accused;
- c. the need to secure or preserve evidence of the offence;

1-2-6/12

- d. the likelihood of the repetition or continuation of the offence; and
- e. the necessity of ensuring personal safety of the accused or anyone else.

26. If you decide that continued close custody is necessary, you must arrange to have the accused placed in either service or civil custody. When the accused is turned over to military custody you must produce an account in writing within twenty four hours or the accused will be released. Civil custody should only be used where absolutely necessary. An accused under open custody should be returned to the parent unit as soon as possible or, where that is impractical, to the nearest CF unit.

27. You should place a soldier in close custody immediately for any of the following offenses:

- a. continued insubordination,
- b. violence,
- c. drunkenness, if the member is being disorderly, and
- d. desertion.

28. Desertion should not be confused with absence without authority. Desertion implies that the accused intends never to come back to military service or to avoid a particular operation such as a peacekeeping tour.

29. A charge is a formal accusation that someone has committed a service offence. A charge is "laid" when it is first put into writing and signed by an officer or NCO duly authorized to do so by his Commanding Officer (QR&O 106.01). This is not to be confused with a "complaint" which anyone, military or otherwise, can make when that person believes that an offence has occurred. Complaints, therefore, should normally lead to an investigation and, where appropriate, to a charge being laid. Ensure you know whether you have been authorized by your CO to lay a charge prior to doing so. The authority, in most cases, will come in the form of a memo or an entry in Routine Orders. Verbal authority is legal nonetheless.

1-2-7/12

## 210. YOU MUST KNOW YOUR SOLDIERS

*"Always interview new arrivals."*

30. Immediately upon arrival at your new unit, make time to interview all your soldiers, and thereafter all new arrivals. Each soldier should be interviewed at least annually. The aim of these interviews is to make the new arrivals feel recognized as individuals, and to inform them of the general purpose and function of the unit. Also, in order to lead them effectively, you must become familiar with many of their personal characteristics. Having such information leads to higher operational readiness because you know what they can and cannot do, what motivates them, and what personal problems they may have that would affect their performance in the group.

31. The following is a list of things you should know about each of your subordinates:

a. Prior to the interview, learn the soldier's:

- (1) **Name**, (For anyone the sweetest sound is that of hearing their own name, pronounced correctly);
- (2) **Age**, including birthday;
- (3) **Home town**;
- (4) **Marital status** and number, gender and ages of children;
- (5) **Qualifications** confirmed from UER; and
- (6) **Service particulars** from DND 490A.

b. During the interview:

- (1) **Welcome** your soldier to the team;
- (2) **Explain** the organization and its traditions;
- (3) **Assign duties** (what is expected); and,

1-2-8/12

(4) Explain unit policies and duties.

c. Discuss the following items:

- (1) **Hobbies**, including sports, particularly those of use to the group;
- (2) **Other work experience** (civilian);
- (3) **Personal problems and concerns**; include career aspirations, courses desired;
- (4) **Personal characteristics** (things that bother or motivate);
- (5) **Quality of work** normally done;
- (6) **Social relations** with other groups.

## 211. YOU MUST BE CONSISTENT AND DECISIVE

32. You should endeavour to obtain the complete confidence of your soldiers. This confidence is only gained by attending to their real needs, by studying their characters, by preserving discipline, by dispensing rewards and extra training with certainty and impartiality, and by showing decisiveness and action in every matter. Inconsistency and indecision will never command respect.

## 212. YOU MUST LISTEN CAREFULLY

33. You should willingly and patiently hear any complaint or request for advice properly made by any soldier and, if possible, deal with the matter at once. Your troops should always be made to feel that a complaint or request for advice, when well-founded, will not be made in vain. On the other hand, frivolous and malicious requests must be firmly dealt with.

## 213. YOU MUST SUPPORT YOUR FELLOW NCOs

34. You should be careful to preserve and uphold the authority and responsibility of other NCOs.

1-2-9/12

#### **214. YOU MUST BE RESPONSIBLE FOR YOUR TROOPS**

35. You are responsible to your supervisor for the welfare of your soldiers, assisted where necessary by the chaplain, social worker, personnel officer, medical officer or other consultants. The request for assistance from these specialists should be initiated by you, through your own supervisor. Nothing is more irksome to a soldier than to be summoned and left standing for an unduly long period, without apparent reason.

#### **215. YOU MUST UNDERSTAND THE RELATIONSHIP BETWEEN NON-COMMISSIONED OFFICERS AND COMMISSIONED OFFICERS**

36. An important part of your job as a NCO has to do with how you relate to commissioned officers. We could fill a book describing differences between commissioned officers and NCOs. But the differences are in no way as important as the similarities.

37. Commissioned officers hold commissions from Her Majesty the Queen authorizing them to act as Her representatives in certain military matters. This does not mean that commissioned officers can do anything they like. Commissioned officers, like NCOs and other government officials, are limited by laws, regulations, policies and customs.

38. Commissioned officers carry out the orders that are delegated through the chain of command. In carrying out orders, commissioned officers get considerable help, advice and assistance from NCOs.

39. Both commissioned officers and NCOs share the same goal; to accomplish the mission. Since they have similar responsibilities, it is evident that those responsibilities will overlap and must, therefore, be shared. Your unit commanding officer and other officers assigned to the unit will give you the guidance, resources, assistance, and supervision necessary for you to do your duties but they will not perform them for you.

#### **216. YOU MUST KNOW YOUR RESPONSIBILITIES AS A NON-COMMISSIONED OFFICER**

1-2-10/12

40. The general responsibilities set forth below can be used as a guide to assist you in determining your specific duties:

- a. Individual training in trade requirements and basic military skills;
- b. Personal and professional development;
- c. Accountability within your organization;
- d. Military appearance and physical conditioning;
- e. The well-being of your soldiers and their families;
- f. Supervision, control, motivation;
- g. Communications between your soldiers and the unit;
- h. Planning and execution of day-to-day unit operations within established orders, directives and policies;
- i. Evaluation of performance and maintenance of performance and employment records;
- j. Appearance and condition of facilities and work areas;
- k. Advice on, support and implement policy established by the chain of command; and
- l. Reward good performance.

#### **217. YOU MUST KNOW HOW TO DECIDE IF A TASK IS YOUR RESPONSIBILITY**

41. From these specific responsibilities, two general guidelines can be drawn up for deciding when a task should be the responsibility of an officer or of an NCO.

- a. **First guideline:** While the officer establishes policy and programs for training and operations, the NCO conducts the daily business of the unit as required by orders, policies, and schedules. Although final decisions are often the responsibility

1-2-11/12

of an officer, most officers will seek the advice from their NCOs to ensure that the decisions are reasonable and relevant. Should you disagree with direction, question it privately. Disagreement is not disobedience but once the final decision is made, execute it to the best of your ability.

- b. **Second guideline:** While the officer works on unit skill to accomplish the mission, the NCO works on the individual and team training to accomplish that same mission.

## CONCLUSION

*"The task of a leader is to get his people from where they are to where they have not been"* Henry Kissinger, former Security Advisor to the President of the USA.

This guide has been designed to assist you in understanding the duties and responsibilities of an NCO in the modern army. It is a vital role in an army that is known for its professionalism and operational readiness. I hope now that you realize that it is not as simple as issuing orders and hoping they will be carried out. Today, more than ever, an NCO must know how to communicate, teach, supervise, evaluate, counsel, use initiative and tact, and above all set an example that soldiers will want to copy.

We want to uphold the tradition of an army where officers are proud of their NCOs, NCOs are proud of their officers, NCOs are proud to be NCOs and where young soldiers want to be NCOs. I encourage you to discuss this guide with your colleagues and provide me with your comments and feedback.

Bryan E. Stephenson  
Major-General  
Commander  
Land Force Central Area

1-2-12/12

## PART TWO

### CHAPTER 3

#### GUIDELINES FOR SUCCESSFUL LEADERSHIP

##### 301. GENERAL OUTLINE

*"Maintain continuous focus on the mission."*

1. The key role of a leader is to train, guide, develop, motivate and counsel troops. The purpose of Part Two and Three is to expand upon this theme. Novice leaders can learn from this handbook and use it as a handy reference in day to day situations as they gain and increase their leadership experience. Experienced leaders and supervisors can learn from this handbook as well by refreshing their knowledge of the subject and acting as "models" to the new and inexperienced leaders until their skills associated with leadership and the guidance process are acquired.

2. As a leader, your duties include such things as planning, assigning tasks and priorities, assessing performance, applying regulations and supervising troops in the performance of their duties. To assist you in developing soldiers through effective use of guidance practices, Chapters 4, 5 and 6, cover guidance of troops and the use of feedback to improve job performance and enhance personal growth and development. The army recognizes that it is helpful to provide inexperienced leaders with a set of guidelines they can follow when called upon to assist their troops with personal problems. Chapter 7 is devoted to this important topic.

3. Our approach to gaining the best possible job performance will be to stress better understanding, respect and communication between leader and soldier. Emphasis will be placed on mature leadership, dedication to the mission and responsibility for actions taken.

##### 302. PERFORMANCE GUIDANCE

*"You must help all your soldiers reach their full potential."*

2-3-1/5

4. Guidance techniques and styles may vary according to the situation or the leader's experience and judgment, however, performance guidance will continue to be one of the prime responsibilities of the Non-Commissioned Officer (NCO). Performance guidance is a leadership function which is essential for developing troops, thereby improving the overall effectiveness of the unit. It is the process of providing a soldier with information, direction, and advice which will improve job performance and enhance personal as well as professional growth and development. Your job is to help each soldier reach his/her full potential as an individual and as a member of a team and not judge them on their limitations. If time and circumstances permit, a soldier will be given the opportunity to correct or improve a deficiency or shortcoming before any "official" counselling is initiated and recorded. Also, a soldier should not learn of a deficiency or shortcoming for the first time during a Performance Evaluation Report (PER) interview; prior guidance or counselling should have occurred and been recorded. Within this concept, the army utilizes the following processes to guide, develop and record a soldier's performance:

- a. Routine performance guidance, is intended to assist soldiers and to commend them on a routine basis as the need arises;
- b. Recording warning (see CFAO 26-17 Recorded Warning and Counselling and Probation - other ranks), for other ranks, is used when verbal routine performance guidance and counselling has been unsuccessful in improving or correcting a soldier's deficiency or shortcoming;
- c. Counselling and probation (CFAO 26-17), for other ranks, is used as a final attempt to salvage a soldier's career;
- d. Report of shortcomings (see CFAO 26-21 Career Shortcomings - Officers), for officers, is used when verbal performance guidance and counselling has been unsuccessful in correcting or improving a noted deficiency or shortcoming; and
- e. The Performance Evaluation Report is used to record a soldier's performance, for career management purposes.

2-3-2/5

### 303. DEFINITION

5. It is essential that soldiers clearly understand the difference between "performance guidance" and "performance evaluation" so that they will recognize when each should normally occur. They must also fully understand when each is used for official purposes.

6. "Performance Guidance" is a two-way communication between a superior and soldier, and may occur as a formal interview or as an on-the-job discussion; or as an informal discussion; or as periodic comments made by a superior to the soldier. The emphasis is on helping and motivating the soldier. It occurs routinely and when required. Performance guidance means:

a. Telling or showing:

- (1) what task or duty is to be performed;
- (2) how a task or duty is to be performed to acceptable standards; or
- (3) how to correct or improve a noted deficiency or shortcoming;

b. Discussing and providing advice concerning:

- (1) a soldier's general performance, conduct, attitude;
- (2) a soldier's dress, deportment or any other personal characteristics which may affect performance;
- (3) a soldier's personal development and career prospects; or
- (4) a soldier's personal problem which may effect his/her performance; and

c. Praising a soldier's performance or providing motivation for continued good performance.

7. The "Performance Evaluation" process is the formal recording of the soldier's performance, to be used for career purposes. The soldier is formally interviewed and informed of his/her superior's

2-3-3/5



evaluation. Deficiencies or shortcomings noted by the superior normally should have been the subject of previous performance guidance. Performance evaluation timing is prescribed by NDHQ.

#### 304. GUIDELINES

8. Guidance should be provided to soldiers when:

- a. they assume new duties;
- b. when a problem arises;
- c. when standards are not being met;
- d. when a superior wishes to commend a soldier for high performance or to provide motivation for continued good performance;
- e. when required for personal development purposes; and
- f. when they request to be advised concerning career prospects.

The amount and type of counselling provided will vary among soldiers depending on individual needs. The timing of such counselling must be left to the discretion of the NCO concerned, provided it occurs separate from and prior to the evaluation process.

9. Under the Privacy Act if an officer or NCO prepares notes on a soldier's performance, they may be destroyed subsequently provided such notes:

- a. have not been utilized for reference purposes during a counselling session; or
- b. have not been discussed with or shown to the soldier or any other person; or
- c. are transcribed to a PER which will serve as a record of such information.

10. Performance guidance must be conducted in such a manner that:

2-3-4/5

a. soldiers will gain:

- (1) a full understanding of their responsibilities, how to do every aspect of the job, and the performance standard expected;
- (2) a clear perception of how their work contributes to the overall objectives of the unit;
- (3) a full understanding of how their work performance is measuring up to the standards set for the job;
- (4) an incentive to set goals and work towards self-improvement;
- (5) the knowledge that their supervisor is aware of problems that have been encountered and is prepared to help solve them; and
- (6) an indication of the performance aspects on which the job performance will be judged;

b. it reinforces the requirement for the leader to:

- (1) be a role model displaying professional competence;
- (2) clearly define and strengthen leader/soldier relationships;
- (3) identify training and personal development requirements; and
- (4) be continually aware of the need for job rotation or organizational change; and

c. **Commanding Officers** will be satisfied that an organized and systematic system is in place to monitor and evaluate performance expectations and allows them to actively participate in the future development of soldiers.

2-3-5/5

THE SOLDIER'S JOB

401. INTRODUCTION

1. As a rule, all soldiers prefer to do their jobs well and want to learn and develop their abilities. Acknowledging that there are exceptions to every rule, we must, however, recognize the need to gear our leadership methods to the majority — those who want to do their jobs well.

402. JOB SATISFACTION

2. Soldiers prefer to do their jobs well because of the rewards they receive as a result of good work. Rewards often come by way of:

- a. the satisfaction felt from using skills to advantage;
- b. the sense of accomplishment that follows a job well done - particularly a challenging job;
- c. the recognition received from superiors, and fellow soldiers; and
- d. the knowledge that one has proven to oneself that he or she is capable of learning and performing well.

3. When you guide or counsel a soldier, you are helping that soldier achieve these rewards. Your personal interest and positive feedback will encourage the soldier to develop improved skills and capabilities. The leader who actively supports a soldier's need to develop also derives the benefit of having the job well done. This reflects upon the leader's ability and provides satisfaction for both leader and soldier.

403. DEVELOPMENT THROUGH GROWTH

4. It is the responsibility of the leader to ensure that soldiers increase their knowledge and capability to do tasks other than their primary jobs. To be an effective leader, you must anticipate and respond to the needs of a soldier by providing the right climate for

growth. You promote growth by:

- a. ensuring soldiers have the tools, training and means to do their jobs;
- b. ensuring soldiers are given tasks which are as much as possible, challenging, yet within their capabilities of performing well; and
- c. ensuring that work is distributed fairly.

#### 404. INDIVIDUAL GOALS AND UNIT OBJECTIVES

5. Soldiers are motivated primarily by their personal needs and goals and will generally take the initiative in acquiring the skills and knowledge necessary to achieve these goals. Unit objectives interest the soldier only to the extent that achieving them also achieves the soldier's personal goal or satisfies a personal need. Teamwork and devotion to service is best taught by outstanding professional models. Leaders must demonstrate by personal example the standard of professionalism they desire their soldiers to emulate. Ensure that individual goals and unit objectives are compatible when possible. Translate unit objectives into tasks to which your soldiers can relate and establish performance standards which will allow them to measure their achievements.

6. When setting unit objectives, you may wish to consult with your troops. Get them involved, together you can identify problems and solve them. Improvements are made best by those who actually do the job and soldiers enjoy and get satisfaction from participating in making improvements to team effectiveness. Objectives must:

- a. be influenced by the soldier who does the job;
- b. be desirable to the individual;
- c. be attainable; and
- d. be challenging.

2-4-2/4

#### 405. YOUR ATTITUDE TOWARD INADEQUATE PERFORMANCE

7. "Inadequate" is a broad term which can cover problems related to output (eg low quantity and poor quality), or problems related to method (eg unsafe practices, and disruptive behaviour which affects work performance). You may decide that the inadequate performance is caused by lack of motivation, by laziness, or by indifference. Your first concern should be to prevent the problem from continuing. The emphasis must be on correcting future performance by ensuring that the soldier knows what is expected, and knows how to do the job. If you suspect a lack of motivation, ask yourself what you as a leader can do. The chances are overwhelming that your soldiers want to do well. Give them the opportunity and show them how.

#### 406. SPECIAL PROBLEM AREAS

8. In some situations more than others, strict compliance to orders is required and continues as an important basis for training and operations. In such situations, swift reaction on your part is called for whenever a duty or task is neglected. This reaction may be sharp criticism or reproof. Never accept sloppy work when you know better work could be done and make your views known. Be consistent in showing that your expectations are always of best performance. Do not restrict the correction of ineffective or inappropriate performance to your immediate soldiers; correct every fault you observe, then immediately inform that soldier's supervisor of your actions.

#### 407. REWARD AND PUNISHMENT

9. It is often thought that rewards such as a public compliment, or a letter of commendation, promotion, or some special privilege (such as time off) must follow a job well done. Such rewards are, in most cases, so common as to be meaningless, or so scarce as to be impractical. Rewards should be reserved for exemplary performance or outstanding devotion to duty.

10. Punishment remains an effective motivational tool in special circumstances, however it can lead to negative feelings between the two parties and a reduction in unit effectiveness. Don't rely on punishment as a means to develop a soldier on the job. It often backfires. Punishment should be reserved for breaches to the Code

2-4-3/4

of Service Discipline where your purpose is to prevent a reoccurrence and to set an example for others. You must foster self-discipline in your troops in the same way you foster professional military values such as, dedication, loyalty, knowledge, integrity and courage. Whenever possible, give a verbal reprimand in private.

#### 408. EXPECTATIONS ARE IMPORTANT

11. High expectations by the leader will result in superior performance than low expectations. If you present your troops with difficult and challenging jobs, they'll probably do them. Present them with easy jobs and they'll do them. As a leader, you'll get from your soldiers exactly what you expect to get.

#### 409. SUMMARY

12. With all these general considerations in mind, the leader must assign specific tasks and responsibilities. It is also from these general considerations that we define effective performance as, "Doing the job to the required standard, in the allotted time with available resources." The fact that this is accomplished, however, does not say a great deal about the individual performance of the soldiers whose collective efforts did the job. As a leader, how can you best encourage satisfactory behaviour on the part of your soldiers? Guidance.

2-4-4/4

## CHAPTER 5

### GUIDANCE ON THE JOB

#### 501. APPROACHES

1. "Johnson, you fouled up again. Do it over and this time do it right." ...Sound familiar? ... This isn't guidance.
2. "Johnson, that's the most horrible job I've ever seen. Do it again and this time don't forget the return spring." ... This isn't guidance.
3. "Johnson, you didn't do the job properly. Do it again and this time be careful. Take a little more time. It's better to do it slowly and right the first time." ... This isn't guidance either.
4. "Johnson, you aren't doing this properly. You must ensure that the brush springs are offset onto the brush cage before you put the end-plate on the generator. Then, after the end-plate is installed you can flip the springs back in position. Let me show you how to do it, then you try it." ... That's guidance.

#### 502. WHAT GUIDANCE IS

5. Guidance is helping the soldier to do the job, and grow personally and professionally in the process. It differs from supervising or managing, which are concerned largely with controlling material and coordinating work groups. Guidance is an interactive process between the leader and the soldier to improve job skills and performance whereby:
  - a. Guidance takes place when one person teaches or demonstrates to another. It is a two way street: the soldier learns from the leader and vice versa;
  - b. its immediate objective is to develop the recipient's skills or abilities;
  - c. it is not evaluating or judging; and
  - d. it is more than advice giving.

2-5-1/3

### 503. WHAT TO PROVIDE GUIDANCE ABOUT

6. Provide guidance about jobs or tasks while teaching the soldier for the first time, or tasks which have not been done correctly, or not on time. Explain and demonstrate the technique to the required standard then have the soldier perform the task under supervision. Be careful with statements like, "Here, let me show you a better way to do that." If you can't convincingly demonstrate how and why your way is better, it isn't.

### 504. WHEN TO PROVIDE GUIDANCE

7. Provide guidance anytime you see a need, never pass a fault. Be alert for opportunities to tell or show a soldier the correct way to do a job. Don't shout, they will hear you better if you explain in a confident, measured tone. Take the time to make sure that your soldiers know that helping is part of your job, and that you are always available.

### 505. WHERE TO PROVIDE GUIDANCE

8. Guidance may be provided any place; however you will run into situations where it is advisable to provide guidance in private. Nobody enjoys having their shortcomings exposed to co-workers or persons of junior rank. If you judge the private approach advisable, provide guidance privately without fuss or fanfare. If promptness is critical, provide guidance any place and any time. Being positive in your approach will minimize the change of an adverse reaction by a soldier.

### 506. WHAT GUIDANCE IS NOT

9. Pep-talks, are largely for the benefit of the talker as he or she tries to communicate their enthusiasm, or displeasure. It does not suffice to say, in effect, "I'm enthused and excited about this, therefore you should be too." That is not a good reason for your soldiers to be enthused. By the same token, neither does it suffice to say, "I'm horribly displeased and therefore you should be too." Pep-talks do not transfer information, they transfer feeling. They may help to create or change attitudes in groups, but pep-talks are not an effective means of motivating improved performance in individuals.

2-5-2/3

10. Advice and suggestions are largely opinion, and as such are most welcome when asked for. To many, advice, solicited or not, invites counter-argument. Why? Because it's opinion, not fact. If you as a leader are seen as an expert in some area, your advice will be solicited and respected. If your soldiers do not see you as being an expert then you can expect their attitude to be, "Your guess is as good as mine". Too much advice can hamper development of a soldier's initiative. Encourage them to make their own decisions on how to improve performance. Give advice when asked, give direction when necessary, and make sure you know the difference.

11. Criticism is threatening and tends to arouse defensiveness and hostility. Soldiers will judge criticism to be opinion backed by authority. Don't make the mistake of thinking of criticism as a form of guidance. It is not guidance. Don't think that criticism is good so long as it is "objective." In a climate of disrespect the most "objective" criticism will generate resistance. Don't "sandwich" criticism between two compliments. It makes no sense to criticize a soldier while telling him/her that they are doing a great job. Do not criticize a soldier for being unable to do a particular job. Rather, you must offer guidance in the form of explanations or demonstrations and remove whatever barrier it is that prevents the soldier from performing the task. Criticism does nothing to help develop a soldier's ability, and can produce defeatism, or stop an individual from experimenting with new ways to produce performance on the job. When you want to change a soldier's behaviour, be positive.

12. Excessive praise, like criticism, is also seen as the opinion or value-judgement of one in a position of authority. Praise in itself does not help an individual learn to perform better. Unwarranted praise (in the eye of the soldier) erodes the soldier's respect for your standards and your judgement. Praise judiciously when the job is completed, not beforehand.

2-5-3/3

FEEDBACK

601. GENERAL

1. Once unit goals have been established and are understood by you and your soldiers, and all the necessary guidance has been provided, you must let them get on with the job. Thereafter, it is your responsibility to monitor their progress and results and know how they were obtained. You must provide your soldiers with some measure of their success in meeting the desired standards. The information you give them is known as feedback.

602. WHAT IS FEEDBACK

2. Feedback is information. A lack of feedback on the job makes doing, or trying to do the job, uninteresting and meaningless. Feedback gives meaning to play - and to work. Its absence leads to frustration, dissatisfaction and de-motivation.

603. TIMING FEEDBACK (When)

3. Feedback is most effective if given promptly upon observing praiseworthy behaviour. Withholding feedback tends to produce resentment. In situations where immediate feedback is impossible or inappropriate, information may be provided through periodic reviews. Remember, just because you don't have anything specific in mind to discuss does not mean your soldiers don't. They may want to give you some feedback.

604. FORMAL VERSUS INFORMAL DISCUSSION  
(How and Where)

4. A discussion between leader and soldier should generally be informal. The important thing is exchanging information. If you have a specific reason to be formal then this approach must be taken. A useful rule-of-thumb is that formal discussions are for the record. Also remember that your office is your home territory and may be seen by your soldiers as a threatening place if only formal discussions are held in your office.

## 605. ACCEPTANCE OF FEEDBACK

5. An individual's receptiveness to information depends on that person's opinion of the speaker. Therefore, the more your soldiers respect you, the more they will accept your words of wisdom. Here are some factors which affect attitude, and in turn, receptiveness to feedback:

- a. Difference in age and experience may cause anxiety in the leader which may affect communication. When a new junior officer is posted in and winds up supervising an older and more experienced NCO he/she might be very reluctant to do anything right away because of personal anxiety from a lack of confidence in their experience. Then again, that same junior officer may be over-confident and decide to "take charge, show them who's boss." In both cases the best solution is to advise the new leader to take it easy. Encourage them to rely on your experience and support until he/she learn the ropes;
- b. beware of rivalries on the job owing to personal dislikes or so-called "personality clashes." As a leader you can't afford a personality clash with any of your soldiers. If you suspect resistance owing to a personal dislike, your immediate response would be to get the problem out in the open, discuss it and deal with it;
- c. unusually high work pressures tend to make soldiers less receptive to feedback because they are pre-occupied with the task at hand. Communication may be seen as interference with that task;
- d. emotional and physical health problems can affect a soldier's perception of feedback and perception can affect receptivity. Discuss it with the individual and, if necessary, refer them to an expert for help;
- e. experienced soldiers are less likely to be wrong, but if they are wrong, they are less likely to admit it. Understand this tendency when you attempt to guide experienced soldiers;
- f. highly experienced soldiers will expect their personal standard

2-6-2/4

from everybody else. Resist the temptation to expect your personal standard from an inexperienced soldier, and understand this tendency in others;

- g. ambitious soldiers listen better, particularly if the person they are listening to can further their ambition;
- h. off-the-job pressures like on-the-job pressures affect receptivity to feedback. Every individual has some limit to their capacity for dealing with problems and pressures. Help your soldiers find solutions to off-the-job problems and they'll have more energy available to solve on-the-job problems (more about this later);
- j. a pay raise, promotion or award can improve receptivity to feedback. The long term absence of such recognition does the opposite; and
- k. having a consistent and credible leadership record has a profound influence on whether a soldier is receptive to your feedback. If you allocate tasks but never follow up to check on job standards you can hardly expect your soldiers to attach much importance to your feedback.

## 606. A FINAL COLLECTION OF GUIDANCE TIPS

6. Here is a list of additional points that you will find useful:
- a. Keep lines of communication open to all of your troops;
  - b. encourage self-discipline but be firm, fair and prompt in applying discipline when required;
  - c. establish your expectations clearly and promptly;
  - d. ensure that every soldier has terms of reference which clearly describes his/her job and responsibilities;
  - e. provide feedback promptly but stick to the facts. Give opinions and value judgements only if asked;
  - f. develop your soldiers by delegating responsibility, and make

2-6-3/4

## GUIDANCE ON PERSONAL PROBLEMS

**701. THE LEADER MUST BE CONCERNED WITH A SOLDIER'S PERSONAL PROBLEMS**

1. Military units have never emphasized the division between operational problems and personal problems. The leader becomes involved when a soldier has a personal problem, helping to find solutions. As leaders, each of you has the responsibility to ensure that your soldiers perform effectively on the job. One way to meet this responsibility is to help your troops find solutions to individual problems which could impair that performance.

**702. IDENTIFYING A PERSONAL PROBLEM**

2. Soldiers may present a number of personal problems for the NCO to deal with, such as: service administration, home and family, service job, etc. The way in which the leader should respond to any of these remains basically unchanged.

**703. THE LEADER'S RESPONSIBILITY**

3. Your responsibility in terms of dealing with personal problems is twofold:

- a. You must initiate corrective action when performance on the job is adversely affected; and
- b. you must be prepared to respond to a request for assistance to solve a personal problem;

Whether you initiate corrective action or are asked for assistance, your approach to the problem must be the same. You must assist the soldier to discover the solution to their problem.

**704. GENERAL CONSIDERATIONS**

4. Here are some general considerations which leaders must actively pursue:

sure that the responsibility fits the task. Be prepared for mistakes, but ensure that such mistakes do not have serious consequences or jeopardize the mission;

- g. encourage initiative and independent self-development;
- h. make time for training, pass on your knowledge and experience;
- i. monitor your soldiers' careers. Keep a note-book with entries on each of the soldier working for you;
- j. talk with your soldiers, not at them. Show them respect, and you will earn theirs;
- k. encourage your soldiers to participate in setting unit goals;
- m. set a high personal standard for dress, deportment, job performance and the general principles of professionalism; and
- n. remember that soldiers have widely differing abilities, physical characteristics, and backgrounds which makes some soldiers less capable in certain jobs than in others. Ensure your soldiers are doing jobs which fit their talents and help to make that job interesting, challenging and rewarding.



- a. Be available, and make sure your soldiers know you are available to help with any problems;
- b. develop the ability to listen;
- c. resist any tendency to sit in judgement;
- d. ensure that the soldier understands that raising a problem will not affect his/her career except when orders and regulations specify otherwise;
- e. respect the need for strict confidentiality except where orders and regulations or the best interests of the soldier specify another course of action; and
- f. address serious personal problems immediately. Evidence of alcoholism, drug abuse or family violence require specific actions in accordance with regulations and orders.

#### 705. LET THE SOLDIER DEFINE THE PROBLEM

- 5. No matter what you think the problem is, encourage the soldier to define it in his/her own words. Having determined that the problem is of a personal nature your response should be to provide support and information which will help solve it, or to suggest counselling by an expert.

#### 706. USEFUL INFORMATION

- 6. Make yourself aware of personal assistance funds, service welfare provisions and support agencies, and the many orders and regulations which affect a soldier's personal life. Your troops will depend on you for help in gaining access to the necessary information, and in interpreting that information.

#### 707. GUIDANCE

- 7. A personal guidance session should have two definite outcomes:
  - a. The soldier must have defined the problem; and

- b. a definite course of action should be set.

- 8. The leader must be prepared to listen, question, summarize the facts and point out the consequences of possible actions. If necessary, the leader may point out military and civilian agencies where expert help is available. Ideally, the soldier should decide on what action to take. No matter what action is proposed, you must follow up to ensure that the action took place, and that a solution to the problem has been reached.

#### 708. REFERRAL TO EXPERT HELP

- 9. If the soldier is to seek expert help, you should become involved in the referral and ensure contact with an expert is made. It may be necessary for you to contact the expert on behalf of the soldier or arrange a referral. Special provisions may be necessary to allow the soldier to make the arrangements. In either case you must follow up the referral to ensure that the soldier received the help required. Refer to your unit SOPs.

## PART THREE

### CHAPTER 8

#### PRINCIPLES OF LEADERSHIP

##### 801. DEFINITIONS AND BACKGROUND

1. Leadership is defined as the art of influencing human behaviour so as to accomplish a mission in the manner desired by the leader. As such, leadership is distinguished from management, which is defined as the science of employing personnel and material in the economical and effective accomplishment of a mission. Command is defined as the lawful authority which a superior exerts over his/her soldiers by virtue of rank and appointment.

##### 802. THE PRINCIPLES OF LEADERSHIP

2. There are ten principles of leadership which must become second nature to you:

- a. Achieve professional competence;
- b. appreciate your own strengths and limitations and pursue self-improvement;
- c. seek and accept responsibility;
- d. lead by example;
- e. make sure that your soldiers know your meaning and intent, and then lead them to the accomplishment of the mission;
- f. know your soldiers and promote their welfare;
- g. develop the leadership potential of your soldiers;
- h. make sound and timely decisions;
- i. train your soldiers as a team and employ them to their full potential; and

- j. keep your soldiers informed of the mission, the changing situation, and the overall picture.

### 803. THE SIGNIFICANCE OF THE TERMS EMPLOYED

3. The terms employed to describe the three approaches to leadership discussed in this handbook are "authoritative", "participative", and "free-rein". These three approaches are not separate and distinct. They do differentiate between the manner a leader will adopt toward his/her followers in one situation to gain full co-operation in achieving the mission from the manner he/she will adopt in another.
4. The authoritative approach is objective and impersonal, generally characterized by the leader issuing orders when there is neither time nor opportunity for more than limited "feedback". The participative approach is more interpersonal. The leader relies less on their authority and more on their own personal resources. The participative approach requires the leader to use all of their skills in dealing with soldiers. When the leader conducts formal instruction, he/she would not use the authoritative approach as in a field command situation, this technique would produce a poor learning environment. By applying the participative approach the leader is more involved with his/her soldiers: asking and answering questions, counselling, winning their trust and confidence, encouraging them through the difficult phases and developing their leadership potential.
5. When the leader adopts the participative approach the soldier is developed through participation, persuasion and guidance. On occasion, the leader must balance their choice of techniques which employ the learning process and those which invoke an emotional response. The emotional appeal ranges from persuasion through encouragement to inspiration. This technique may not be effective when it relates to the soldiers' acquisition of skills and knowledge.

### 804. THE TECHNIQUES APPLICABLE TO EACH APPROACH TO LEADERSHIP

6. General. The authoritative and participative approaches to leadership provides effective options which assist in making the leader's performance more effective. Either method is readily

available to the leader who has adopted a free-rein approach should he/she need to revert to them in response to any disruptive influence which threatens the accomplishment of the mission.

### 7. Means Available to the Authoritative Approach

- a. The first means available in the authoritative approach is authority. When a leader commands, orders or directs, he/she does so with the full weight of legal authority in support of his/her actions. In wielding this power, the young NCO is cautioned that a high degree of responsibility is entailed. He/she must be sure that the order he/she delivers is lawful and that it conforms to the intent of his/her own superior in the accomplishment of the mission;
- b. the second means is the discipline which the leader has instilled within their soldiers. If the leader has performed this task well, he/she can anticipate an immediate response to orders;
- c. delegation is a third means by which a leader utilizes his/her soldiers in the accomplishment of a mission. When the leader delegates authority to a soldier, that soldier bears responsibility to his/her leader, but the leader who delegates authority retains overall responsibility for the success of the mission. If the soldier fails, the leader who delegated the authority is ultimately responsible: if the soldier succeeds, all credit goes to the soldier for a job well done;
- d. the leader's fourth means consists of sanctions; reward and punishment. Sanctions are based on performance, with recognition of the difference between ability failure and motivational failure. The best results are obtained when the leader:
- (1) frequently promises rewards and seldom threatens punishment when assigning tasks;
  - (2) rewards good performance; and
  - (3) punishes poor performance which resulted from poor motivation and uses punishment instructively; and

- e. the fifth means the leader has is the trust the soldiers have in the leader, a trust built on the leader's character and on his/her success in applying the techniques of leadership.

8. The Participative Approach and its Means. The leader will have occasion to use the authoritative approach during field training when soldiers are conditioned through discipline and instant response to orders. However, during classroom or on-the-job training, where the learning process relates to technical and educational subjects, the participative approach is required. The participative approach is most effective when:

- a. the leader actively participates in the training of his/her soldiers and passes on knowledge and develops skills in the process;
- b. motivational techniques, including encouragement, persuasion, and inspiration are available to the leader. The leader should be aware of the soldier's needs and utilize these to motivate him/her toward the accomplishment of the mission; and
- c. the application of the techniques of interviewing and counselling, will improve a leader's effectiveness.

#### 805. SUMMARY

9. Three approaches to leadership have been identified, given particular titles and discussed in relationship to situations where their adoption will prove effective or ineffective. As a leader you will utilize each in response to specific situations.

10. "Approaches to leadership" conveys the idea of a deliberate shift or change. An experienced leader will be able to blend each approach as may be required in changing situations. Each approach to leadership is subject to influence from the leader's training, experience and the leader's individual character.

11. It is in the performance of duty, especially during operations, that the leader will find this material beneficial. As the leader gains experience, and develops confidence in his/her ability to lead, the leader will begin to blend his/her personality with a specific leadership approach thereby increasing competence in the art of leadership.

3-8-4/4

#### 901. INTRODUCTION

1. A soldier's level of motivation to perform a task is influenced by his/her desire to satisfy individual physical and mental needs. The leader must be aware of this desire to anticipate the soldier's response in terms specific needs. The leader must also remember that his/her own needs and personality will influence his/her troops.

2. Leaders must identify the motives of their soldiers and stimulate them constructively toward task performance. A soldier's needs create tensions which are modified by various environmental factors resulting in specific wants. These wants can be interpreted as incentives to produce a response or action. All soldiers have certain needs or requirements for the maintenance of physical and mental health. They are aware of their wants but are often unconsciously motivated by their needs.

#### 902. THEORIES OF MOTIVATION

3. The concept of the priority of needs is generally excepted, however, such needs have limitations in explaining motivational behaviour. A soldier's motivation may be further influenced through reward, punishment, justice, group dynamics, proprietorship, and drives. Each is inter-dependent and affects the soldier's incentive to complete a task. These can be illustrated as a weighing scale to demonstrate the importance of all needs being in balance. Figure 9-2 is an example of the balance scale of needs.

#### 903. ADJUSTIVE BEHAVIOUR

4. General. Some soldiers experience long-term difficulty in adjusting to military life. The leader must understand their needs and appreciate their problems if he/she is to provide effective leadership. It is important to examine the behaviour that results when a soldier's needs are not satisfied. A well adjusted soldier will display a satisfactory relationship with his/her environment. This relationship is achieved only when the soldier's needs are relatively satisfied. Unlike

3-9-1/7

- d. treatment with dignity;
- e. advancement opportunity;
- f. freedom from over-supervision;
- g. social activity;
- h. good working conditions, including pay;
- j. explanation for changes;
- k. challenging work;
- m. fair treatment; and
- n. high contribution opportunity.

10. If the leader fails to provide what the soldiers want, they will channel their energies to fulfil their own needs, even where this means working in opposition to the goals of the organization. In other words if they "don't like the system they will try to beat it." Should they be unable to "beat the system," then patterns of adjustive behaviour may emerge, or applications for transfer or release may be forthcoming.

#### 905. INCENTIVES TO PERFORMANCE

11. General. The leader has many incentives which may enable soldiers to fulfil their aspirations and, inspire them to better performance. Positive incentives such as recognition and participation are used as they increase both performance and the welfare of the soldiers. On rare occasions, negative incentives like fear and punishment are required to motivate behaviour. Negative incentives should be avoided whenever possible since the effects are short-lived and tend to decrease morale. Punishment should be used only as a corrective measure and not merely to impose hardship.

12. Positive Incentives. The leader may motivate soldiers through:

- a. Promotion. The leader must ensure that the best soldiers are

selected for promotion by evaluating performance impartially and objectively. When soldiers perceive at first hand that the best performance is rewarded by promotion, they will tend to contribute their maximum efforts;

- b. Security. Soldier's want to feel secure against job loss. If their welfare is properly attended to they will be free to direct their energies toward good performance;

- c. Recognition. Soldiers should be recognized and praised for good performance. Praise, however, should be used only when it is truly deserved and when it can be given with sincerity. If praise is given too frequently it becomes a doubtful motivator;

- d. Competition. Competition can enhance performance. By attempting to outperform the opposition, the habit of performing better often overflows into a soldier's work. Over competition should be avoided, however, in that winning competitions may compromise the accomplishment of the mission;

- e. Knowledge of Results. Regular performance interviews can improve a soldier's performance by pointing out weaknesses and providing guidance on ways to improve;

- f. Participation. One of the best incentives to job performance is that of encouraging participation when an opportunity arises. The merits of participation are:

- (1) worthwhile suggestions may be obtained,
- (2) the soldier gains self-esteem in being consulted and having the leader listen to their opinions,
- (3) the soldier tends to identify more strongly with the job, and
- (4) the soldier feels a greater sense of responsibility. The leader must realize, however, that when time is short and when solutions to problems are readily apparent, participation serves no purpose to the soldiers or to the mission;

- g. Enthusiasm. The leader's enthusiasm has a direct effect on a

soldier's motivation. A poorly motivated leader will produce even more poorly motivated soldiers. Enthusiasm is contagious, and if the leader is keen and enthusiastic he/she will probably derive excellent performance from their troops;

- h. Organizational Efficiency. Better motivation exists when duties are well defined for each position, lines of authority are clearly indicated, proper equipment is provided, and tasks can be completed in a steady, well-organized fashion;
- i. Delegation. Delegation of as much authority as possible to soldier level ensures that all activities are carried out effectively. If the leader fails to organize work so that some of it can be delegated, then soldiers will remain undeveloped and initiative will be stifled. Moreover, soldiers will sense a lack of trust and will in turn have little faith in their leader, especially when he/she makes a mess of larger issues;
- j. Avoiding Over-control. Control systems are set up so that a comparison can be made between what is required, and what is actually being done. This may involve such activities as setting standards, monitoring charts, writing reports, preparing duty rosters, performing inspections, and making decisions. One of the most valuable methods of effecting control, is through direct supervision. Care must be taken, however, not to over-supervise. A leader who is constantly interrupting his/her soldiers to check and correct their work not only becomes a nuisance, but gives the soldiers a feeling they can not be trusted, and their self-esteem suffers;
- k. Job Enlargement. In some trades soldiers are required to perform repetitive, mundane tasks. Since this leads to stagnation and resentment, it would be worth while for the leader to incorporate job enlargement through rotation of tasks or increasing the variety of tasks. Job enlargement improves motivation and performance. Precautions should be taken, however, to ensure that such action does not detract from overall performance and that those who prefer repetitive tasks, or shy away from alternating responsibilities, are not forced into such a program;

3-9-6/7

- l. Development. Opportunities often exist where soldiers can be developed through on-the-job training or special courses related to their work. Development by such means not only helps to increase motivation and performance, but also better prepares them for higher responsibilities in the future. An excellent way to attain competence is to take advantage of training opportunities; and
- m. Proper Selection. Nothing guarantees poor performance more than having a soldier who hates a job. Therefore, soldiers should be selected for jobs and assignments on the basis of their suitability in terms of qualifications and willingness. Some jobs exist which nobody wants to do ("joe-jobs"), but the leader has some degree of flexibility here in that he/she can first determine the necessity of such tasks, and if these tasks are a necessity they can distribute each job equally or as a means of punishment. If a soldier completely dislikes their primary task and counselling does not change their attitude, the leader should recommend a transfer or that release from the service be initiated.

3-9-7/7